

CALIFORNIA PUBLIC UTILITIES COMMISSION

Water Division

STANDARD PRACTICE  
FOR PROCESSING WATER AND SEWER SYSTEM  
ADVICE LETTER FILINGS  
AND RESOLUTIONS AND MAINTAINING TARIFFS  
UNDER GENERAL ORDER NO. 96-B

Standard Practice U-8-W

San Francisco, California

Revised August 2001

STANDARD PRACTICE FOR PROCESSING ADVICE LETTER FILINGS

AND RESOLUTIONS AND MAINTAINING TARIFFS

UNDER GENERAL ORDER NO. 96-B

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**A - INTRODUCTION**

1. The purpose of this standard practice is to provide utilities with directions for filing advice letters and Water Division personnel with a detailed description of the steps required to process advice letters and create and process resolutions. An advice letter is a document prepared by the utility that requests action of the Commission. Most commonly an advice letter is used to make changes to the utility's tariffs. A resolution is an order of the Commission that is not the result of a formal filing. This standard practice includes information explaining how to:

- a. log in submitted advice letters
- b. review the submissions for compliance
- c. file the advice letter
- d. evaluate the advice letter
- e. accept, suspend or reject the advice letter
- f. prepare a resolution
- g. process the resolution
- h. file and maintain tariffs

2. This standard practice applies to all water and sewer system utilities, and Water Division support staff, engineers or analysts who are assigned to process advice letters or write resolutions. In addition to these instructions, the utility, and the employees processing the advice letter, must be familiar with and follow the requirements of the current version of General Order 96 and other standard practices that apply to the particular type of advice letter being prepared or reviewed. The Director of the Water Division may modify these rules if the situation so requires.

## **B - PROPOSALS**

3. A proposal is a request from the utility to review an advice letter before the utility submits it for filing. In form, a proposal is identical to a regular advice letter except:

- a. no advice letter number is assigned,
- b. only two copies are required,
- c. the term “advice letter” is replaced with “proposed advice letter” in the text of the advice letter and on the Cover Sheet,
- d. no notice is given, and
- e. the proposed advice letter is not served on the service list.

Class B, C and D utility informal general rate cases and loan approval requests are usually submitted initially as proposals.

4. The Tariff Unit of the Water Division logs all proposals in the proposal docket list (Document Number 88265 in PowerDocs) and into the Proposal/Advice Letter (PAL) database in Oracle. Proposals are processed identically to advice letters (see below) except disposition is by a letter from the project manager suggesting changes for the regular advice letter. The project manager’s letter doesn’t obligate the Commission or staff as to whether the resulting advice letter itself will be approved or rejected.

## **C - ADVICE LETTERS**

5. The utility submits six copies of the advice letter and two copies of workpapers, if any, to the Water Division in San Francisco, which forwards them to the Tariff Unit. Class A water and sewer service utilities shall:

- a. provide two colored folders, one blue and one yellow, with the filing with a label in white that looks like the following:

Company Name	AL #
Type of filing	

- b. The two folders should be fully assembled with advice letters and workpapers as follows:

Holding the folder like a book, with the larger side away from the preparer, on the outside front attach a Proposal/Advice Letter Summary sheet (Appendix A). On the inside left side of the folder, attach a complete copy of the decision or resolution that authorizes the filing, including tables, and the stipulation if any, with the applicable ordering paragraph highlighted and marked with a paper clip. On the right side of the folder attach a copy of the advice

letter, including cover sheet, followed by a copy of the notice used, followed by the workpapers (if any) in the following order:

- (1) a table of contents of the workpapers listing all the sheets by title and sheet number,
- (2) the weather normalized means test (if required) summary of earnings table followed by the income tax calculation and workpapers (see Standard Practice U-20-W),
- (3) the advice letter workpapers. The first sheet of all workpapers must be a description of calculation describing in narrative form how the tariff calculations in the workpapers were done. Tabs should divide the workpapers where appropriate. Each workpaper sheet will be numbered consecutively.

- c. provide a large properly-stamped self-addressed envelope for one copy of the advice letter. It will be sent back to the utility stamped with the date filed.

Utilities may also submit electronically by sending the submittal to [water\\_division@cpuc.ca.gov](mailto:water_division@cpuc.ca.gov) or by facsimile to (415) 703-4426. Class A utilities shall follow up the electronic filing with the hard-copy filings described above.

6. The tariff clerk stamps the date and time of receipt of each submittal and reviews the package for:

- a. Conformance with GO 96, including format and cover sheet contents.
- b. Proper tariff sheet numbering. Even if the utility has chosen to allow staff to number the new tariff sheets, any sheet being replaced must be properly numbered.
- c. Adequate notice. The advice letter will not be accepted for filing until the notice has been published or the last bill insert notice has been mailed. In addition to notice to the service list, certain advice letters (rate increases and service area extensions, for example) require extra notice.

7. If the utility has chosen to allow staff to number the new tariff sheets, the tariff clerk checks to see if there are other active advice letters from the same company. If there are, the sheets will not be numbered until the order of approval of all advice letters are known. If there are no other active filings, the tariff clerk fills in the proper numbers by numbering the first non-table of contents tariff sheet with the next available number (one count higher than the existing first table of contents tariff sheet number), the next non-table of contents tariff sheet with the next number and so on. The table of contents tariff sheets are numbered last, with the first table of contents sheet receiving the highest number. The body of the table of contents sheets will have to be modified as well. If the utility has converted to the numbering plan described in General Order 96B, it shall number all sheets.

8. If the advice letter is not acceptable for filing, the tariff clerk informs the Branch Chief and requests changes/additions from the utility. After being accepted for filing, the tariff clerk does the following:

- a. Enters a record of the filing in the advice letter docket book and in Doc.87927 in PowerDocs (Advice Letter Docket List).
- b. Enters the necessary information in the PAL system on Oracle.
- c. Posts a notice in the daily calendar that the advice letter has been filed.
- d. Returns a copy to the utility stamped with the date filed.

9. The tariff clerk prepares the advice letter for review by doing the following:

- a. For non-Class A utilities, creates a blue folder as described above, with an Advice Letter Review Routing Sheet (Appendix A), containing the work copy of the advice letter together with supporting documents and workpapers, if any. Creates a yellow folder containing the original and three (or more) copies of the advice letter and one copy of the work papers, and labels the folders with the name of the utility, the advice letter number and a brief description of the filing.
- b. Fills out the upper part of the Routing Sheet, putting down the review comments as directed on the form (including comments related to corrections needed to the tariffs) and the suspense date information, and attaches the sheet to the cover of the blue folder.
- c. Routes the blue folder to the Branch Chief, who assigns the filing to an analyst. The Blue folder goes back to the tariff clerk who notes the analyst's name in the proposal or advice letter docket list and PAL and sends the folder to the analyst.
- d. Files the yellow folder in the "pending" file of active advice letters alphabetically by company.

10. Every advice letter must be reviewed by an analyst. Such review encompasses consideration of conformance of the request with the legislation, resolution or decision authorizing the advice letter and any similar resolutions or decisions; the correctness of filed rates or other quantities, compliance with the appropriate division standard practice, including weather normalized or other means test, workpapers and attachments; conformance with Commission policy and procedures; and consideration of protests or responses from the public. For advice letters for which the utility has requested ministerial review (review and approval by staff because the Commission has already made clear what the standards of review should be), the analyst recommends disposition as follows:

- a. If the advice letter is to be approved, check the "No Resolution Required" box on the Cover Sheet, annotate the Route Sheet and include an analysis if appropriate.
- b. If the request is not justified in the showing in the advice letter or if the advice letter is protested and staff cannot resolve the protest, then the advice letter should be rejected with prejudice. Check the "No Resolution Required" box on the Cover Sheet, annotate the Route Sheet, and include a rejection letter for the Branch Chief's signature that describes the reason for rejection and advises the utility to file a formal application.
- c. If the advice letter is to be rejected without prejudice because there is an active formal proceeding addressing the issue, check the "No Resolution Required" box on the Cover Sheet, annotate the Route Sheet and prepare a cover letter to the utility describing the reason for rejection.

- d. If the advice letter is to be approved in part, approved with modifications, or if the advice letter otherwise requires a resolution, for example to address a protest, check the “Resolution Required” box on the Cover Sheet, annotate the Route Sheet and attach a draft resolution approving, approving in part or conditionally, approving with modifications or rejecting the advice letter. Draft a cover letter for the project manager’s signature informing the utility that the advice letter has been reclassified as discretionary and that a copy of the draft resolution is attached, and inform the Tariff Unit. The Tariff Unit posts this information along with the new expected completion date to the Commission calendar.

11. The analyst is responsible for the disposition of all ministerial advice letters. This will usually occur after the 20-day protest period and before the 30-day deadline. If the utility requests and staff agrees, the advice letter can be approved in less than 20 days subject to refund.

12. If additional time is required to properly review a ministerial advice letter because the advice letter is excessively vague; does not include sufficient information to determine the impact of the advice letter on rates or the relationships between the advice letter proposals and other tariffed services; does not explain how the proposed rates or services implement or comply with statutory requirements, regulations, and/or Commission orders; or through the absence of information raises similar issues; or the complexity of the advice letter (and supporting information) requires more time for analysis, the analyst sends a form letter to the utility (Appendix G), prior to the 30 day deadline, explaining the need for delay and extending the time for processing from 30 days to up to 150 days, and sends a copy of the request or memo to the utility, to the project manager or supervisor, and to the Tariff Unit, which notices the delay on the Commission’s Daily Calendar. The analyst’s letter must include: 1) the date the due date is extended to, 2) the grounds for the extension, and 3) notice that the extension will automatically be increased such that the total processing time may be 330 days if the Commission has not issued an order regarding the advice letter by the new due date.

13. Disposition of a discretionary advice letter requires a resolution. This should occur within 150 days of filing, but if disposition will take longer, the analyst must draft a letter for the project manager’s signature, delaying disposition for up to an additional 180 days, and send a copy to the utility, and to the Tariff Unit, which will notice the delay on the Commission’s Daily Calendar. The letter must include: 1) the date the due date is extended to, 2) the grounds for the extension, and 3) notice that the extension will automatically be increased such that the total processing time may be 330 days if the Commission has not issued an order regarding the advice letter by the new due date. Informal General Rate Case advice letters are processed in accordance with the Service Guarantee Plan (U-9-SM). Requests for loan approval are processed in accordance with Appendix G.

14. Advice Letter GRCs can be turned into formal proceedings. The Guidelines are to turn a proceeding formal if over half of the customers complain about the rate increase and/or service quality. Staff should consider turning the GRC formal if a significant number and percentage of

the customers complain, if the utility has outstanding compliance items, or if a mayor or city council request one<sup>1</sup>.

## **D - RESOLUTIONS**

14. Resolutions are required for discretionary advice letters or for advice letters that were submitted as ministerial, but which require a Commission disposition based on interpretation of policy.

15. The analyst drafts the resolution using the resolution Style in Word (available from the Tariff Unit). The contents of the resolution depend on the situation and what the advice letter is requesting, but there are certain elements that all resolutions must contain:

- a. The resolution must stand on its own. It must contain all information, including citations if necessary, that applies to the request made in the advice letter and a complete analysis that substantiates the disposition that the resolution recommends.
- b. It must be the analyst's original work. No analyst should ever ask a utility to prepare a resolution.
- c. It must be understandable to someone unfamiliar with utility regulation. It should avoid using regulatory jargon and provide definitions or descriptions where necessary.
- d. The resolution must be complete. It must discuss every item the utility asked for and the reasoning behind approving or disapproving each request. Informal general rate case resolutions should only address areas of disagreement between staff and the utility.
- e. The resolution must be correct. All calculations must be properly done and arithmetically correct. Numbers in the text must be the same as the numbers in the tables.
- f. The sections of most resolutions are:
  1. Title—a description of what the resolution does. It starts with the Resolution number in parentheses, the full name of the utility, and the abbreviation of the name, in parentheses, that will be used in the resolution.
  2. Summary—a one or two paragraph description of what the resolution recommends. Finish with a description of the number of service connections and the location of the service area being affected.
  3. Background—the events that occurred in the past that led to the filing of the advice letter and a description of what the advice letter is requesting. Often this section contains the precedent actions of the Commission
  4. Discussion—A logical and complete evaluation of the merits of each part of the request and whether and why each part should be approved, modified or rejected. If a request is to be approved, describe what the utility needs to do and what the consequences are.

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<sup>1</sup> Memorandum from the J. E. Kerr, General Counsel, I. R. Alderson, Chief ALJ; W. R. Ahern, Director, Utilities Division; B.A. Davis, Director, Rev. Req Division and B. Barkovich, Director, Policy Division to the Commission, June 10, 1982, Subject: Conversion of Water Utility Advice Letter General Rate Increase Filings to Formal Applications and Rejection of Draft General Rate Increase Filings.

5. Notice—A description of how the advice letter was noticed and whether any protests or responses were received. After April 11, 2001 all notices must include information on how to file a protest or response<sup>2</sup> If protested, state that the staff has answered each protest<sup>3</sup>.
6. Recommendations—Summarize the results of the discussion. If the Resolution is for a GRC, give the customer bill comparison and present and adopted revenues<sup>4</sup>.
7. Findings and Conclusions—Facts that pertain to the situation and results of the discussion for each issue.
8. Ordering Paragraphs—Actions that the utility is allowed to or is ordered to take, along with timeframes and deadlines. The final ordering paragraph is the effective date of the resolution. Normally a resolution is effective 30 days from being voted on. If it is to be made effective earlier, justify the earlier date in the Discussion and Conclusions.
9. Appendices—All General Rate Case<sup>5</sup> and Offset Resolutions must contain Appendices containing the adopted quantities.

A good resolution depends upon a reasonable argument organized coherently and presented persuasively. It is neither a list of unconnected 'points,' nor a 'lawyer's brief' that argues for only one side of an issue without acknowledging its limitations or liabilities. Qualify your thesis or recommendations whenever necessary, but strive at all times to keep the reader's focus clearly on your point of view. Stick to essential information or arguments that grow out of your introduction and lead inevitably to your conclusions. The memo writing workshop will provide you with valuable ideas on organizing professional memos.

- Be certain you have solved the problem before you begin to write. Then organize your presentation to help the reader see how that solution is reasonable and persuasive. Try to picture how the completed DM will look before you start to write.
- Get right down to business in your introduction; you will rarely have the luxury of enough space to present elaborate background information, witty or 'elegant' meanderings toward your topic.
- After reading the opening paragraph, your audience should have no doubt concerning what your memo is about. At the least, the reader will know what problem you are addressing, how you intend to approach it, and what are the main considerations. Most readers will also appreciate a sense of your conclusions in the introduction. The format of the 'mystery tale,' where a web of confusing evidence is suddenly untangled in a surprise ending, is rarely an effective way to present a professional memo.
- Organize all information to buttress your argument logically. It is seldom convincing to present material in the same order in which you thought through a problem; attempt instead to determine what effect your organization will have on the reader. Structure should be logical rather than chronological.

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<sup>2</sup> Letter from Fred L. Curry to All Commission Regulated Water and Sewer System Utilities, April 11, 2001

<sup>3</sup> Memorandum from Wes Franklin to All Hydraulic Supervisors and Seniors, August 3, 1983, Subject: Customer Protests in Advice Letter Proceedings

<sup>4</sup> Memorandum from Mar C. Carlos, Chief Administrative Law Judge to All Administrative Law Judges, November 24, 1982, Subject: Water Rate Case Decisions

<sup>5</sup> Letter from Wesley Franklin, Chief of the Hydraulic Branch to Supervisors and Seniors, dated August 31, 1983



- Stick with the information or analysis useful to your audience. Compress, subordinate, or eliminate anything that does not bear directly on your subject. If you need to demonstrate calculations, or present additional data, include them in an appendix to the main body of your DM. Don't distract your reader with unessential material or long digressions.
- Be sure that graphs, tables, or equations are relevant, clearly explained, and coherently tied to your prose arguments. Don't present such materials for their own sake, but only when (and in such a way that) they advance your thesis. Never include a graph, table, or equation you have not previously addressed in the text.
- End conclusively. The reader should sense that you have fulfilled the expectations you created throughout the discussion, that you have proven what you set out to demonstrate. The reader must also feel that she understands your final position and the path that leads to it.

## Style

In the final analysis, your ideas are no more meaningful to the reader than you are able to make them. Style by no means merely embellishes meaning; the two are essentially indistinguishable. Most readers will feel that muddled writing reflects hazy thinking. Try to express ideas in a way readers will understand easily, without ambiguities. Prose should be simple, clear, and easy to read. Assume the reader will not take the time to ponder fine shadings of meaning you believe your language contains. Keep the language simple and direct.

Wherever possible:

- Choose the plainest words you can find.
- Keep sentences brief.
- Seek lively words and constructions.
- Prefer action verbs and active sentences over forms of to be or passive constructions.
- Make sure paragraphs are coherent, that they have a single controlling idea you have made explicit.
- Before you type the final draft, edit to eliminate potential ambiguities, awkward expressions, and unnecessary words.
- After you type the final draft, proofread carefully to make sure it embodies your exact intentions.
- If you have any questions about the correct usage or meaning of a word, consult a good dictionary.
- When you address a non-technical audience, strive to avoid technical jargon. The professional policy analyst writes to communicate clearly, not to impress the reader with sophisticated terminology. Too often students use jargon to demonstrate they have attended a lecture or read a certain an assignment. Even sophisticated audiences appreciate simple, direct prose. They realize that the ability to translate complex concepts into plain language better indicates the writer's grasp of the subject than the simple parroting of technical jargon. The effort to find a clear expression for technical ideas also helps the author test the depth of

his or her own understanding.

- There are times, however, when a bit of jargon may provide the most economical means to approach a problem. When you feel such language is essential (or expedient) for developing an idea, you may choose first to define the terms, then to use them to your advantage subsequently.
- In like fashion, be sure to explain all abbreviations the first time you use them.
- While grammatical propriety should not be your first concern, realize that many points of grammar help insure logic and clarity. Beyond that, incorrect usages will distract some readers from your arguments. Follow grammatical conventions; when in doubt, consult a reliable style manual.

16. The analyst forwards the draft resolution to the Senior Engineer or other designated project manager. The project manager reviews the resolution for correctness and checks that all calculations are properly done, then forwards it to the Tariff Unit. The Tariff Unit reviews and finalizes the resolution for grammar, format and style, and sends it, with the blue and green cover sheets (Appendices B and C), to the Branch Chief, the Division Director and the Water Commissioner's office for review. After review is complete and any changes made, the Tariff Unit makes the requisite number of copies of the proposed resolution and sends them to the Process Office.

17. Any subsequent changes to the proposed resolution ("starred" versions) are finalized by the Tariff Unit and undergo review using the blue cover sheet. The Tariff Unit makes the requisite number of copies of starred revisions for the Process Office. If the changes are major, the analyst prepares a cover letter (Appendix D) for the Division Director's signature.

18. If the resolution is contested, it must be "sunshined." Not later than 30 days before the Commission meeting send the letter to all concerned parties using the cover letter in Appendix I. Also, not later than 21 days prior to the Commission meeting, the Tariff Unit sends an electronic copy of all draft resolutions that will be mailed with the agenda to the secretary of the Chief of the Advisory Branch. The secretary saves a copy of each resolution to the WEBPUB database by importing the document using PowerDOCS and the naming conventions in Appendix K. The Chief or other designated approver reviews the resolution by logging into the WEBPUB database and viewing the document to make sure it matches the printed resolution. If it matches, the approver changes the status on the document profile to "approved" and the resolution is automatically published to the Commission web site. If disapproved, after corrections are made, the resolution is published to the site.

19. The Agenda Review meeting is normally held the Tuesday afternoon before the Commission meeting. It is chaired by the Chief ALJ and attended by advisors and the Division Director or designate. At that meeting resolutions may be held, withdrawn or moved to the regular agenda. If a resolution is not complete (including receipt of supplemental advice letters) it will be held at that meeting. Resolutions may be held and agenda blurbs changed by request to the Chief ALJ at other times. After approval, the final resolution should be mailed to the service list of the advice letter

and, if the resolution modifies actions taken by another resolution or decision, the service list of that proceeding or resolution.

### **E – ORDER CORRECTING ERROR**

20. In the event that an error, typo or omission is discovered after the Order has been released, such inadvertent/minor error(s) may be corrected by writing an “Order Correcting Error” to be signed by the Executive Director (See Appendix J). The Executive Order shall include the following:

- a. Statement of the error.
- b. “Resolution A-4661, dated March 19, 1977, authorizes the Executive Director to sign orders involving correction of inadvertent errors.
- c. The correction being authorized.

### **F - ADVICE LETTER APPROVAL**

21. If a ministerial advice letter was protested and is to be approved, the analyst prepares a letter explaining the disposition of the protest(s) for signature of the Chief of the Water Advisory Branch who sends the letter to the protestant(s) explaining that the disposition can be appealed, within ten days, to the Director of the Water Division. If appealed, the Director of the Water Division will determine the effective date of the advice letter and tariffs. If not appealed, the effective date will be the day after the last date for appeal.

22. After the advice letter is approved, the Tariff Unit does the following:

- a. Prepares a transmittal letter (Appendix E or F) and sends it to the utility, along with a complete copy of the advice letter with all tariff sheets stamped with the filed date, effective date and resolution number, and the resolution (if any).
- b. Stamps all tariff sheets with the date filed and date effective, places the tariff sheets in the tariff book and enters the AL status in PAL. Unless they are original sheets, the sheets that are superseded are removed and stamped “Sheet Cancelled – superseded by Revised Cal. P.U.C. Sheet No. \_\_\_\_\_.” These cancelled sheets are retained in the Cancelled Tariffs file for as long as the utility is certificated.
- c. Puts the original copy of the advice letter in the company’s advice letter file.
- d. Sends a copy of the advice letter and stamped tariff sheets to the Los Angeles office of the Commission.
- e. Sends a copy the advice letter and stamped tariff sheets to the Consumer Affairs Branch (CAB) in San Francisco.
- f. Puts a copy of the resolution (if any) in the resolution binders.
- g. Puts a copy of the resolution (if any) in the utility’s resolutions file (see section G below).
- h. Sends an electronic copy of the final version of the resolution (if any) to the advisory branch for publishing as described in 16 above.

- i. Retrieves the work file folder from the analyst (if necessary) and puts it in the work file filing cabinet alphabetically by company. Work files are kept until the next general rate case.

### **G - WITHDRAWAL, REJECTION, AND SUSPENSION OF ADVICE LETTERS**

23. If the utility desires to withdraw a filed advice letter, it must inform the Water Division by letter or e-mail prior to the effective date.

24. If the analyst determines that an advice letter should be rejected, she or he prepares a letter explaining the reason for rejection for the signature of the Chief of the Advisory Branch who sends it to the utility with the explanation that the rejection can be appealed, within ten days, to the Director of the Water Division. If appealed, the Director of the Water Division will determine the effective date. If not appealed, the effective date will be the day after the last date for appeal.

25. The legal effect of withdrawal, rejection or suspension is to leave the existing tariff schedules in effect. If the advice letter is withdrawn or rejected, the Tariff Unit stamps the face of the advice letter and each tariff sheet "Withdrawn" and the date, or "Rejected" and the date, enters the status in PAL and returns a copy of the advice letter to the utility with a letter explaining the reasons for the action.

26. The Tariff Unit retains the original copy of the withdrawn, suspended or rejected tariff sheets in the file of cancelled tariffs and sends copies to CAB and Los Angeles. The advice letter number and tariff sheet numbers are not reused. Any revised tariff sheets, submitted by a subsequent advice letter should show the cancellation of the then-effective tariff sheet, not the sheet number of the rejected or withdrawn sheet, since the latter never became effective and therefor cannot be cancelled.

### **H - TARIFF CANCELLATIONS BECAUSE OF WITHDRAWALS OF SERVICE**

27. When a utility desires to cancel a schedule for a service which it is either able to render on another schedule, or it desires to discontinue offering, including discontinue offering in part of its service territory, it may request approval by discretionary advice letter. If the Commission approves the resolution, the Tariff Unit stamps the affected tariff sheets "Sheet Cancelled (Not Superseded) by Advice No. \_\_\_\_\_, Authority \_\_\_\_\_." This procedure is used where no substantial withdrawals of service are involved, otherwise a formal application is required.

### **I - RECORDS MAINTAINED BY THE TARIFF CLERK**

28. The tariff clerk is responsible for the following: Tariff book files, Proposal Docket List, Advice Letter Docket List, Contract Files, Advice Letter Files, Resolution Files, Work Files, the Cancelled Tariffs File and Exemptions of General Order 96 File.

- a. The tariff book file contains the original copies of the title page, table of contents, preliminary statement, effective schedules of rates, list of contracts and deviations, tariff rules, and forms.
- b. The Proposal Docket list is a list of all proposals received from the utilities in reverse chronological order. It contains the following information:
  - (1) Name of Utility
  - (2) Assigned Proposal No.
  - (3) Date Filed
  - (4) Date Due
  - (5) Analyst
  - (6) Subject Date Received
  - (1) Utility Authority (Decision or Resolution number and effective date)
  - (7) Type of Filing
  - (8) Disposition
- c. The Advice Letter Docket List is a list of all advice letters received from the utilities in reverse chronological order and contains the following information.
  - (2) Name of Utility
  - (3) Advice Letter Number
  - (4) Date Filed
  - (5) Date Due
  - (6) Analysis
  - (7) Subject
  - (8) Authority for filing (Decision or Resolution number and effective date)
  - (9) Type of Filing
  - (10) Requested effective date
  - (11) Disposition
- d. The Advice Letter File contains all of the advice letters in reverse numerical order, by company.
- e. The Contract File is a file of the contracts relating to all services at other than tariffed rates provided after January 1, 1943 (the date General Order No. 96 became effective), when such information is filed by the utilities.
- f. The Tariff Unit maintains two files of the conformed copy of resolutions. One copy is filed in a binder containing one calendar year of resolutions in order of resolution number, and the second copy is filed alphabetically by company in reverse resolution number order. Conformed copies of resolutions show the vote of the Commission, date of the vote, and certification of Executive Director.

- g. The Cancelled Tariff file contains, by company, all cancelled or superseded tariffs in reverse numerical order.
- h. The Work File contains the analyst work folder for each advice letter submitted by the utility since its last approved general rate case. These folders are filed by utility in reverse advice letter number order. When a new general rate case work folder is filed, all previous work files are discarded.
- i. The exemption file contains a copy of all pertinent correspondence relating to a utility's request for authority to be relieved from certain requirements of the General Order No. 96 industry rules or the Division's standard practices, filed by utility name, and the Division Director's commitment in response to the request.

**\*\*\*REVIEW AND ROUTE AS INDICATED\*\*\***

<b>FINAL RECOMMENDATION:</b>		<input type="checkbox"/> Approve	<input type="checkbox"/> Approve Conditionally	<input type="checkbox"/> Reject
<b>COMMENTS:</b>				
<b>SIGNATURE:</b>		<b>DATE:</b>		

# PROPOSED RESOLUTION



THIS SHEET MUST ACCOMPANY THE ORIGINAL COPY OF THE PROPOSED RESOLUTION, BE PROPERLY FILED OUT, AND BE SIGNED BY THE DIVISION BEFORE IT WILL BE CONSIDERED FOR THE COMMISSION AGENDA

ADVICE LETTER: \_\_\_\_\_ ASSIGNED BRANCH: \_\_\_\_\_

FILED BY: \_\_\_\_\_

DATE FILED: \_\_\_\_\_ COMMISSION MEETING: \_\_\_\_\_

	NAME	INITIAL	DATE
BRANCH CHIEF			
DIRECTOR			
ASSIGNED COMMISSIONER			

PROTESTS?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
CONTROVERSIAL	YES <input type="checkbox"/>	NO <input type="checkbox"/>
REQUIRES DISCUSSION	YES <input type="checkbox"/>	NO <input type="checkbox"/>
READY FOR DISTRIBUTION DATE	_____	
CONSENT CALENDAR	YES <input type="checkbox"/>	NO <input type="checkbox"/>
SUBJECT TO PUBLIC COMMENT?	YES <input type="checkbox"/>	NO <input type="checkbox"/>

RESOLUTION SUMMARY

Date signed: \_\_\_\_\_



**WATER ADVISORY BRANCH**  
**DRAFT RESOLUTION ROUTE SHEET**

Resolution No. \_\_\_\_\_ Meeting Date \_\_\_\_\_  
 Utility Name \_\_\_\_\_ Adv. Ltr. No. \_\_\_\_\_  
 Process Deadline \_\_\_\_\_

-----  
 (Pls. attach the AL workfolder with the draft resolution.)

**A. PROJECT TEAM REVIEW & APPROVAL**

		Comments and Changes (Indicate the pages)
1. Originator/Author	Date _____	_____
Name _____		_____
Phone _____		
Note: 1 - Branch to prepare compliance filing?		_____ (Y) _____ (N)
2 - Send OA copy to JRB and JLJ.		
2. Project Engineer	Date _____	_____
		_____
3. Program Supervisor	Date _____	_____
		_____

**B. ADMINISTRATIVE REVIEW & APPROVAL**

1. Tariff Unit	Date _____	_____
a. Process for management approval		_____
b. Assign Resolution Number		
2. Fred L. Curry	Date _____	_____
		_____
3. Kenneth K. Louie	Date _____	_____
		_____
4. Izetta R. C. Jackson	Date _____	_____
		_____

**C. FINAL DRAFTING AND PROCESSING FOR COMMISSION AGENDA**  
**(Pls. write additional instructions, if any.)**

jlj

**W-2**  
**9/7/2000**

**State of California**  
**Public Utilities Commission**  
**San Francisco**

## **MEMORANDUM**

Date: September 5, 2000

To: The Commission  
(Agenda Distribution List)

From: Director Smith

File No: W-XXXX, Any Water Company Loan Approval

Subject: Agenda item W-2 for September 7, 2000 Meeting

As a result of the City of Any meeting on August 31, 2000, I have revised the resolution to deny the utility's request for loan approval at this time. This resolution does approve a \$100,000 planning loan that will have no immediate rate impact, and orders the utility to pursue approval of the filtration project easement appeal.

PUBLIC UTILITIES COMMISSION

505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3298



September 5, 2000

File No. 602-9

I. M. Regulated, Owner  
Regulated Small Water System  
100 Harms Way  
GAMMA, CA 96075

Dear Mr. Regulated:

The Commission has received and filed the utility's Advice Letter No. 15-W, together with the following revised Cal. P.U.C. Tariff Sheets, that were submitted for processing:

<u>Cal. P.U.C. Sheet No.</u>	<u>Title of Sheet</u>
140-W	Schedule No. 1A, Annual Metered Service
141-W	Schedule No. 2RA, Annual Residential Flat Rate Service
142-W	Table of Contents

We are returning a copy of the approved advice letter and tariff sheets, with the filing and effective dates shown, for the utility's files.

Very truly yours,

R. D. WORKER  
Program Technician III  
Water Advisory Branch

Enclosures

cc: Sam Pler, Consultant

PUBLIC UTILITIES COMMISSION

505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3298



August 7, 2000

File No. 602-19

Dan Sharpe  
Director, Rates and Revenues  
Regulated Water Company  
123 Main St  
P O Box 100  
DELTA, CA 99000-0100

Dear Mr. Sharpe:

The Commission passed Resolution No. W-4XXX on August 3, 2000, which authorized the tariff revisions proposed in the utility's Advice Letter No. 100. We have thus processed the advice letter and the following revised Cal. P.U.C. Tariff Sheets, applicable to its Los Angeles County Division, that were submitted:

<u>Cal. P.U.C. Sheet No.</u>	<u>Title of Sheet</u>
1525-W, 1526-W	Schedule No. 1, General Metered Service
1527-W, 1528-W	Schedule No. 3L, Limited Irrigation Service
1529-W, 1530-W	Schedule No. 6, Reclaimed Water Metered Service
1531-W, 1532-W	Table of Contents

Enclosed is a copy of the approved resolution, advice letter, and tariff sheets with the filing and effective dates shown, for the utility's files.

Very truly yours,

R. D. WORKER  
Program Technician III  
Water Advisory Branch

Enclosures

**PROCESSING FINANCING APPLICATION/ADVICE LETTER****TIME SCHEDULE****ACTIVITY****DAY****Application****Advice Letter**

Filing received by Docket Office	0	
Filing received by Water Division		0
Filing appears on Commission's Daily Calendar	5	7
SB960 Commission categorizes filing as ratesetting, adjudicatory, or quasi-legislative	19	
Filing categorized as ratesetting	20	10
Assigned to Examiner/Staff Analyst		
Processing	30	20
<ul style="list-style-type: none"> <li>- Review filing for completeness</li> <li>- Send utility Supplemental Data Request</li> <li>- Correspond with utility/other parties</li> <li>- Write draft decision/resolution</li> </ul>		
Filings coupled with surcharge	75	65
<ul style="list-style-type: none"> <li>- Utility provides notice to customers</li> <li>- Public meeting conducted</li> <li>- Protests and response to protests</li> <li>- Continue writing draft decision/resolution</li> </ul>		
Draft Decision/Resolution completed and signed out by ALJ Office/Commissioner's Office	85	75
<ul style="list-style-type: none"> <li>- Changes/Revisions</li> <li>- Advice Letters may be converted to formal if controversial</li> <li>- Agenda No. assigned/draft distributed</li> </ul>		
Commission Meeting	101	91
Utility pays financing fee; decision/resolution issued and mailed out	105	95

## ADVICE LETTER (AL) SUSPENSION NOTICE \*

### WATER DIVISION

Utility Name _____	Date Utility Notified ____/____/____ via:
Utility No./Type _____	<input type="checkbox"/> Fax No. (    ) _____
Advice Letter No. _____	<input type="checkbox"/> E-Mail _____
Date AL filed _____	<input type="checkbox"/> Mail _____
Utility Contact Person _____	Date Calendar Clerk Notified ____/____/____
Utility Telephone No. (    ) _____	Date Commissioners/Advisors Notified ____/____/____
	WD Staff Analyst _____

#### ☐ FIRST SUSPENSION (up to 120 DAYS)

This is to notify you that the above-indicated AL is suspended from \_\_\_\_/\_\_\_\_/\_\_\_\_ to \_\_\_\_/\_\_\_\_/\_\_\_\_ for the following reason(s). If the Commission does not act on this AL within this time, the second suspension will commence automatically.

- ☐ AL Protested
- ☐ Resolution is required
- ☐ AL not in compliance with Commission Statute/Decision/Resolution
- ☐ Additional information is required
- ☐ Additional time is required
- ☐ Other \_\_\_\_\_
- 

#### ☐ SECOND SUSPENSION (180 DAYS)

The Commission has not taken action on this AL; therefore, an additional 180-day suspension period will automatically commence on \_\_\_\_/\_\_\_\_/\_\_\_\_.

If you have any questions regarding this matter, please contact \_\_\_\_\_ at \_\_\_\_\_ or via e-mail at \_\_\_\_\_.

\_\_\_\_\_  
Hilda Pay, Director  
Water Division

\* Reference – Resolution M-4801, dated April 19, 2001

TO: Parties to Any Water Company's Advice Letter XXX-W.

Enclosed is a draft Resolution of the Water Division. This draft Resolution will be on the agenda of the Commission's September 20, 2001 meeting. The Commission may then vote on the Resolution or it may postpone a vote until later.

When the Commission votes on a draft Resolution, it may adopt all or part of it as written, amend, modify or set it aside and prepare a different Resolution. Only when the Commission acts does the Resolution become binding on the parties.

Parties may submit comments on the draft Resolution. An original and two copies of the comments, with a certificate of service, should be submitted to:

R. D. Worker  
Water Division  
California Public Utilities Commission  
505 Van Ness Avenue  
San Francisco, CA 94102  
Fax: 415-703-4426

Any comments on the draft Resolution must be received by the Water Division by September 7, 2001. Those submitting comments must serve a copy of their comments on 1) the service list attached to the draft Resolution, 2) all Commissioners, and 3) the Director of the Water Division, on the same date that the comments are submitted to the Water Division.

Comments shall be limited to five pages in length plus a subject index listing the recommended changes to the draft Resolution, a table of authorities and an appendix setting forth the proposed findings and ordering paragraphs. Replies to Comments are due on September 13, 2001.

Comments shall focus on factual, legal or technical errors in the draft Resolution. Comments that merely reargue positions taken in the advice letter or protests will be accorded no weight and are not to be submitted.

Late submitted comments will not be considered.

Amanda Rekonwith, Chief  
Water Advisory Branch  
Water Division

Enclosure: Service List  
Certificate of Service



**PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA**

**WATER DIVISION  
Water Advisory Branch**

**RESOLUTION NO. W-XXXX  
March 10, 2000**

**R E S O L U T I O N**

**(RES. W-XXXX), ANY WATER COMPANY. ORDER  
CORRECTING NONSUBSTANTIVE ERRORS IN  
RES. W-XXXX**

**SUMMARY**

The commission has been informed of nonsubstantive errors in Res. W-XXXX which was passed on December 16, 1999. The resolution did not include reference to modification of other rule and form pertaining to customer deposits. To correct this, attached are Rule No. 5, Special Information Required on Forms, and Form No. 2, Customer Deposit Receipt

Pursuant to Resolution A-4661.

**IT IS ORDERED that:**

1. Page 2 of Resolution W-XXXX is hereby replaced. Pages 3 through 6 of Appendix B. are hereby added.
2. This order is effective today.

Signed and dated in San Francisco, California on March 10, 2000

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X. L. Lent  
Executive Director

## Appendix K

CPUC01 NAMING CONVENTIONS	WEBPUB NAMING CONVENTIONS
Agenda Resolutions (Res-A)	Agenda Resolutions (Res-A)
Res. W-4310 (Rate Increase for Bakman)	Agenda Resolution W-4310 (Rate Increase for Bakman)
Final Resolution (Res-F)	Final Resolution (Res-F)
Resolution W-4310 (Rate increase for Bakman Water Company)	Resolution W-4310 (Rate increase for Bakman Water Company)

Each proposed agenda item that our process office mails to the public is to be posted on the "Agenda Mailed Date" (10 days before the Commission Meeting)

Each time an agenda item is held over it needs a new CPUC01 number.

Finalize signed agenda items prior to the close of business the following day.

Approver: The Branch Chief or whomever is designated.

NOTE: Each time an agenda item is held over to a new commission meeting date, the held item is to have a new CPUC01 number.